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| FORM PTO-1390 (REV 1-98) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 89188.0115 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NUMBER 10/541086 Not assigned | |
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| INTERNATIONAL APPLICATION NO. PCT/US2003/041742 | | INTERNATIONAL FILING DATE 31 December 2003 (12/31/03) | | PRIORITY DATE CLAIMED 2 January 2003 (01/02/03) | |
| TITLE OF INVENTION Secreted Protein Factor and Cell Membrane-Bound Splice Variant | | | | | |
| APPLICANT(S) FOR DO/EO/US Timothy Kirk Gallaher, Lena A. Basile, Kai-Jin WU, Yi ZHAO and Unnati JARWALA | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> | | | | | |
| Items 11. to 16. below concern document(s) or information included: | | | | | |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</p> <p><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> Other items or information:</p> | | | | | |

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|---|--|---|--|--|--|
| U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.53) 10/541086 Not assigned | | INTERNATIONAL APPLICATION NUMBER PCT/US2003/041742 | | ATTORNEY'S DOCKET NUMBER 89188.0115 | |
|---|--|---|--|--|--|

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|---|--------------|----------------|-------------------------------------|------------|--|----|
| 17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)): Basic National Fee \$300 National Stage Search Fee \$500 National Stage Examination Fee \$200 <div style="text-align: right;">TOTAL FEE AMOUNT =</div> | | | | | CALCULATIONS PTO USE ONLY | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)). | | | | | \$ 130.00 | |
| CLAIMS | NUMBER FILED | NUMBER ALLOWED | NUMBER EXTRA | RATE | | |
| Total claims | 20 | 20 | 0 | X \$50.00 | 0 | |
| Independent claims | 4 | 3 | 1 | X \$200.00 | 200.00 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | X \$360.00 | 0 | |
| SIZE FEE 102 (TOTAL PAGES OF SPEC AND DRAWINGS TOGETHER) | | | \$250 for each additional 50 sheets | X \$250.00 | 250.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | | 1580.00 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. § 1.27. The fees indicated above are reduced by 1/2. | | | | | 790.00 | |
| SUBTOTAL = | | | | | 790.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)). | | | | | \$ 0 | |
| TOTAL NATIONAL FEE = | | | | | 790.00 | |
| Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property + | | | | | \$ 0 | |
| TOTAL FEES ENCLOSED = | | | | | 790.00 | |
| \$ | | | | | Amt. Refunded | \$ |
| | | | | | Amt. charged | |

a. ☐ Checks in the amounts of ___ and ___ to cover the above fees are enclosed.

b. ☒ Please charge my Deposit Account No. 50-1314 in the amount of 790.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1314. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

☒ Customer Number 000026021 →

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Lawrence J. McClure
 SIGNATURE
 Lawrence J. McClure
 REG.NO. 44,228
 Express Mail Label No. EV 548 040 373 US
 Date: June 29, 2005

Transmittal Letter to the United States Designated Office (DO/US)—Entry Into National Stage under 35 U.S.C. 371—PTO 1390 [13-7]

10/541086

JC20 Rec'd PCT/PTO 29 JUN 2005

Attorney Docket No: 89188.0115

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Timothy Kirk GALLAHER et al.

Serial No: Not assigned

Filed: June 29, 2005

For: Secreted Protein Factor and Cell Membrane-Bound
Splice Variant

Art Unit: Not assigned

Examiner: Not assigned

CERTIFICATE OF MAILING VIA U.S. EXPRESS MAIL

"Express Mail" Mailing Label No. EV 548 040 373 US

Date of Deposit: June 29, 2005

Mail Stop PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that

- ☒ two copies of a letter of transmittal
- ☒ patent application (93 page(s) of specification; 20 claim(s); 1 page(s) of abstract
- ☒ 8 sheet(s) of informal drawings
- ☒ Sequence Listing in computer readable form as required by 37 C.F.R. § 1.824.
- ☒ An initial Sequence Listing as required under 37 C.F.R. § 1.823(a) and a statement under 37 C.F.R. § 1.821(f).
- ☒ Verufied Statement Under 37 C.F.R. § 1.821(f)
- ☒ Preliminary Amendment
- ☒ return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 C.F.R. § 1.10 on the date indicated above and are addressed to:

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Date: June 29, 2005

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Joanna Alonso

Name of person mailing papers

Signature

JC20 Rec'd PCT/PTO 29 JUN 2005

VERIFIED STATEMENT UNDER 37 C.F.R. §1.821(f)

I, Lawrence J. McClure, declare that I reviewed the paper and the computer-readable copy of the Sequence Listing filed herewith for the above-identified application and that the content of both is the same.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of The United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 6/29/05

Lawrence J. McClure
Lawrence J. McClure
Reg. No. 44,228